

12 SEP 2001

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 USC § 371

APPLICATION NO (If known, see 37 CFR 1.53)

09/936418

INTERNATIONAL APPLICATION NO PCT/GB00/00904	INTERNATIONAL FILING DATE March 10, 2000	PRIORITY DATE CLAIMED March 12, 1999
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TITLE OF INVENTION
SINGLE WAVELENGTH OPTICAL TRANSCEIVER

APPLICANT(S) FOR DO/EO/US Robin Jeremy Richard MORRIS, Andrew George RICKMAN,
Stephen Warren GORTON and Stephen McCANN

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

- 1 ☒ This is a **FIRST** submission of items concerning a filing under 35 USC § 371 ☐
- 2 ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 USC § 371 ☐
- 3 ☐ This is an express request to begin national examination procedures (35 USC § 371(f)) ☐ The submission must include items (5), (6), (9) and (21) indicated below ☐
- 4 ☐ The US has been elected by the expiration of 19 months from the priority date (Article 31) ☐
- 5 ☒ A copy of the International Application as filed (35 USC § 371(c)(2))
- a ☒ is attached hereto (required only if not communicated by the International Bureau) ☐
- b ☒ has been communicated by the International Bureau ☐
- c ☐ is not required, as the application was filed in the United States Receiving Office (RO/US) ☐
- 6 ☐ An English language translation of the International Application as filed (35 USC § 371(c)(2)) ☐
- a ☐ is attached hereto ☐
- b ☐ has been previously submitted under 35 USC § 54(d)(4) ☐
- 7 ☐ Amendments to the claims of the International Application under PCT Article 19 (35 USC § 371(c)(3))
- a ☐ are attached hereto (required only if not communicated by the International Bureau) ☐
- b ☐ have been communicated by the International Bureau ☐
- c ☐ have not been made; however, the time limit for making such amendments has NOT expired ☐
- d ☐ have not been made and will not be made ☐
- 8 ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 USC § 371(c)(3)) ☐
- 9 ☐ An oath or declaration of the inventor(s) (35 USC § 371(c)(4)) ☐
- 10 ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 USC § 371(c)(5)) ☐

Items 11 to 20 below concern document(s) or information included:

- 11 ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98 ☐
- 12 ☐ An assignment document for recording ☐ A separate cover sheet in compliance with 37 CFR 3.028 and 3.031 is included ☐
- 13 ☒ A **FIRST** preliminary amendment ☐
- 14 ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment ☐
- 15 ☐ A substitute specification ☐
- 16 ☐ A change of power of attorney and/or address letter ☐
- 17 ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter² and 35 USC § 821 - 1.825 ☐
- 18 ☐ A second copy of the published international application under 35 USC § 54(d)(4) ☐
- 19 ☐ A second copy of the English language translation of the international application under 35 USC § 54(d)(4) ☐
- 20 ☒ Other items or information: International Preliminary Examination Report
PCT Request

21 ☐ The following fees are submitted:**BASIC NATIONAL FEE (37 CFR 1.401(a)(1)-(5)):**

Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ☐ \$1000.00

International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO ☐ \$860.00

International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ☐ \$710.00

International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) ☐ \$690.00

International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) ☐ \$100.00

ENTER APPROPRIATE BASIC FEE AMOUNT =

\$860.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☒ 30 months from the earliest claimed priority date (37 CFR 1.492(e)) ☐

\$130.00

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$
Total claims	22 - 20 =	2	x \$18.00	\$ 36.00
Independent claims	1 - 3 =	0	x \$80.00	\$ 0.00
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$270.00	\$

TOTAL OF ABOVE CALCULATIONS =

\$1,026.00

☒ Applicant claims small entity status ☐ See 37 CFR 1.47 ☐ The fees indicated above are reduced by 1/2 ☐

\$

SUBTOTAL =

\$

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492(f)) ☐

\$

TOTAL NATIONAL FEE =

\$1,026.00

Fee for recording the enclosed assignment (37 CFR 1.421(h)) ☐ The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.128, 3.131) ☐ \$40.00 per property +

\$

TOTAL FEES ENCLOSED =

\$1,026.00

Amount to be refunded:

\$

charged:

\$

a ☒ A check in the amount of \$ 1,026.00 to cover the above fees is enclosed ☐ (check #01152) any

b ☒ Please charge my Deposit Account No 16-0607 in the amount of \$ deficiency to cover the above fees ☐
A duplicate copy of this sheet is enclosed ☐

c ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No 16-0607 ☐ A duplicate copy of this sheet is enclosed ☐

d ☐ Fees are to be charged to a credit card ☐ **WARNING:** Information on this form may become public ☐ Credit card information should not be included on this form ☐ Provide credit card information and authorization on PTO-2038 ☐

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.437 (a) or (b)) must be filed and granted to restore the application to pending status ☐

SEND ALL CORRESPONDENCE TO:

FLESHNER & KIM, LLP

P.O. Box 221200

Chantilly, VA 20153-1200

SIGNATURE

Daniel Y. J. Kim

NAME

36,186

REGISTRATION NUMBER